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DOCKET NO. MS303963.1/MSFTP439US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: **Joshua T. Goodman, et al.**
Serial No.: **10/601,034**
Filed: **June 20, 2003**
For: **OBFUSCATION OF SPAM FILTER**
Art Unit: **2153**
Examiner: **Unknown**

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120:

Serial No.: _____
Filing Date: _____

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) ____ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) ____ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):


- (a) ____ Within 3 months of the filing date or date of entry into the National Stage.
- (b) X Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the

- absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R.
- (c) ____ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.
- (1) ____ The required certification is given below, or
- (2) ____ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement.
- (d) ____ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.
- (1) ____ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or

4. Certification (if applicable)

- (a) ____ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.
- (b) ____ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

Respectfully Submitted,
AMIN & TUROCY, LLP

By 
Himanshu S. Amin
Reg. No. 40,894

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CERTIFICATE OF MAILING

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450. Alexandria, VA 22313-1450.

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Himanshu S. Amin



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**SUPPLEMENTAL INFORMATION
DISCLOSURE STATEMENT
BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 5

Complete if Known

Application Number	10/601,034
Filing Date	6/20/03
First Named Inventor	Joshua T. Goodman
Art Unit	2153
Examiner Name	Unknown
Attorney Docket Number	MS303963.1/MSFTP439US

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US- 6,779,021	08-17-2004	Bates et al.	
		US- 6,732,149	05-04-2004	Kephart	
		US- 6,728,690	04-27-2004	Meek et al.	
		US- 6,691,156	02-10-2004	Drummond et al.	
		US- 6,684,201	01-27-2004	Brill	
		US- 6,633,855	10-14-2003	Auvenshine	
		US- 6,592,627	07-15-2003	Agrawal et al.	
		US- 2002/0059425	05-16-2002	Belfiore et al.	
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		US- 6,327,617	12-04-2001	Fawcett	
		US- 6,308,273	10-23-2001	Goertzel et al.	
		US- 2002/0016956	02-07-2002	Fawcett	
		US- 5,905,859	05-18-1999	Holloway et al.	
		US- 5,805,801	09-08-1998	Holloway et al.	
		US- 2004/0139165	07-15-2004	McMillan et al.	
		US- 2004/0139160	07-15-2004	Wallace et al.	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				

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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Sheet 2 of 5

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		Number-Kind Code ² (if known)			
		US- 2004/0093371	05-13-2004	Burrows et al.	
		US- 2004/0054887	03-18-2004	Paulsen et al.	
		US- 2003/0037074	02-20-2003	Dwork et al.	
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				First Named Inventor	Joshua T. Goodman
				Art Unit	2153
				Examiner Name	Unknown
Sheet	3	of	5	Attorney Docket Number	MS303963.1/MSFTP439US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		D. TURNER et al., Payment-based Email. 5th International Conference on Software Engineering, Artificial Intelligence, Networking, and Parallel/Distributed Computing, June 2004. 7 pages.	
		D.A. TURNER et al., Controlling Spam through Lightweight Currency. In Proc. of the Hawaii International Conference on Computer Sciences, January 2004. 9 pages.	
		FABRIZIO SEBASTIANI. Machine Learning in Automated Text Categorization. ACM Computing Surveys, Vol. 34 Issue 1, pp. 1-47, 2002.	
		I. ANDROUTSOPOULOS, et al. Learning to Filter Spam E-mail: A Comparison of a Naive Bayesian and a Memory-based Approach. 4th PKDD's Workshop on Machine Learning and Textual Information Access, 2000. 13 pages.	
		I. ANDROUTSOPOULOS, et al., An Experimental Comparison of Naive Bayesian and Keyword-based Anti-spam Filtering with Personal E-mail Messages. Proceedings of the 23rd ACM SIGIR Conference, pp. 160-167, 2000.	
		P. PANTEL, et al., SpamCop: A Spam Classification & Organization Program. In Proc. AAAI-1998 Workshop on Learning for Text Categorization, 1998. 8 pages.	
		G. MANCO, et al., Towards an Adaptive Mail Classifier. In Proc. of Italian Association for Artificial Intelligence Workshop, 2002. 12 pages.	
		CORMAC O'BRIEN, et al., Spam Filters: Bayes vs. Chi-squared; Letters vs. Words, Proceedings of the 1st international symposium on Information and communication technologies, 2003, pp.291-296, Dublin, Ireland.	
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		LORRIE FAITH CRANOR, et al., Spam!, Communications of the ACM, 1998, pp. 74-83, Vol. 41-No.8.	

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				Examiner Name	Unknown
Sheet	4	of	5	Attorney Docket Number	MS303963.1/MSFTP439US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		JOHN WONG, Preventing Spams and Relays, Linux Journal, December 1998, 6 pages, Vol. 1998 Issue 56es, Specialized Systems Consultants, Inc.	
		MENG WENG WONG, SPF Overview, Linux Journal, April 2004, 6 pages, Vol. 2004 Issue 120, Specialized Systems Consultants, Inc.	
		Stop, in the Name of Spam, Communications of the ACM, November 1998, pp.11-14, Vol. 41 No. 11, ACM	
		ERIC ALLMAN, Spam, Spam, Spam, Spam, Spam, the FTC, and Spam, Queue, September 2003, pp. 62-69, Vol. 1 Issue 6, ACM	
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		J.D.M. RENNIE, ifile: An Application of Machine Learning to E-Mail Filtering. Proceedings of the KDD-2000 Workshop on Text Mining, Sixth ACM SIGKDD International Conference on Knowledge Discovery and Data Mining, 2000. 6 pages.	
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		K. MOCK, An Experimental Framework for Email Categorization and Management. Proceedings of the 24th Annual International ACM SIGIR Conference, pp.392-393, 2001.	
		JOSE MARIA GOMEZ HIDALGO, Evaluating Cost-Sensitive Unsolicited Bulk Email Categorization, SAC 2002, 2002, pp. 615-620, ACM, Madrid, Spain.	
		A.Z. BRODER, et al. Syntactic Clustering of the Web. SRC Technical Note, Digital Corporation, July 25, 1997. 13 pages.	

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